

Substitute Form PTO-1449 (Modified)		U.S. Department of Commerce Patent and Trademark Office	
		Attorney's Docket No. 14952.0320	Application No. 10/772,424
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)  (37 CFR §1.98(b))		Applicant John V. Frangioni et al.	
		Filing Date February 6, 2004	Group Art Unit 3736

**OCT 26 2004 JC25****Information Disclosure Statement****by Applicant**

(Use several sheets if necessary)

<b>U.S. Patent Documents</b>							
Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
/ASJ/	AA	5,262,357	11/16/1993	Alivisatos et al.			
	AB	5,505,928	04/09/1996	Alivisatos et al.			
	AC	5,525,377	06/11/1996	Gallagher et al.			
	AD	5,537,000	07/16/1996	Alivisatos et al.			
	AE	5,585,640	12/17/1996	Huston et al.			
	AF	5,674,698	10/07/1997	Zarling et al.			
	AG	5,677,545	10/14/1997	Shi et al.			
	AH	5,751,018	05/12/1998	Alivisatos et al.			
	AI	5,985,173	11/16/1999	Grey et al.			
	AJ	5,985,353	11/16/1999	Lawton et al.			
	AK	5,990,479	11/23/1999	Weiss et al.			
	AL	6,054,495	4/25/2000	Markowitz et al.			
	AM	6,114,038	9/5/2000	Castro et al.			
	AN	6,139,585	10/31/2000	Li			
	AO	6,207,229	3/27/2001	Bawendi et al.			
	AP	6,251,303	6/26/2001	Bawendi et al.			
	AQ	6,306,610	10/23/2001	Bawendi et al.			
	AR	6,319,426	11/20/2001	Bawendi et al.			
	AS	6,326,144	12/4/2001	Bawendi et al.			
	AT	6,379,635	4/30/2002	O'Brien et al.			
	AU	6,337,117	1/8/2002	Maenosono et al.			
	AV	6,444,143	9/3/2002	Bawendi et al.			
	AW	6,447,698	9/10/2002	Ihara et al.			
	AX	6,501,091	12/31/2002	Bawendi et al.			
	AY	6,548,168	4/15/2003	Mulvaney et al.			
	AZ	6,548,171	4/15/2003	Barbera-Guillem et al.			
▼	AAA	2002/0066401	6/6/2002	Peng et al.			

Examiner Signature  /Ashish Jasani/	Date Considered  03/22/2007
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified)		U.S. Department of Commerce Patent and Trademark Office		Attorney's Docket No. 14952.0320	Application No. 10/772,424
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)  (37 CFR §1.98(b))				Applicant John V. Frangioni et al.	
		Filing Date February 6, 2004	Group Art Unit 3736		

<b>U.S. Patent Documents</b>							
Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
/ASJ/	ABB	2003/0017264	1/23/2003	Treadway et al.			
	ACC	2003/0042850	3/6/2003	Bertram et al.			

<b>Foreign Patent Documents or Published Foreign Patent Applications</b>							
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
	ADD	WO 98/04740	02/05/1998	PCT			
	AEE	WO 98/33070	07/30/1998	PCT			
	AFF	WO 00/27365	5/18/2000	PCT			
	AGG	WO 00/27436	5/18/2000	PCT			
	AHH	WO 00/28088	5/18/2000	PCT			
	AII	WO 00/28089	5/18/2000	PCT			

<b>Other Documents (include Author, Title, Date, and Place of Publication)</b>		
Examiner Initial	Desig. ID	Document
	AJJ	Akerman et al., <i>Proc. Natl. Acad. Sci. USA</i> 99:12617-12621 (2002)
	AKK	Alivisatos et al., "Organization of 'nanocrystal molecules' using DNA," <i>Nature</i> , 382:609-611, August 15, 1996
	ALL	Alivisatos et al., "Semiconductor Clusters, Nanocrystals, and Quantum Dots," <i>Science</i> , 271:933-937, 1996
	AMM	Alivisatos, "Perspectives on the Physical Chemistry of Semiconductor Nanocrystals" <i>J. Phys. Chem.</i> 1996(100):13226-13239, 1996
	ANN	Anderson and Parrish, <i>J. Invest. Dermatol.</i> 77:13-19 (1981)
	AOO	Bawendi et al., "Luminescence properties of CdSe quantum crystallites: resonance between interior and surface localized states," <i>J. Chem. Phys.</i> , 96(2):946-954, January 15, 1992
	APP	Becker et al., <i>Nature Biotechnol.</i> 19:327-31 (2001)
	AQQ	Beverloo et al., "Preparation and Microscopic Visualization of Multicolor Luminescent Immunophosphors," <i>Cytometry</i> , 13:561-570, 1992
	ARR	Bruchez et al., "Semiconductor Nanocrystals as Fluorescent Biological Labels," <i>Science</i> , 281:2013-2016, September 25, 1998
	ASS	Bugaj et al., <i>J. Biomed. Opt.</i> 6:122-33 (2001)
	ATT	Cao and Banin, <i>J. Am. Chem. Soc.</i> 122:9692-9702 (2000)
▼	AUU	Cerussi et al., <i>Acad. Radiol.</i> 8:211-218 (2001)

Examiner Signature  /Ashish Jasani/	Date Considered  03/22/2007
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 14952.0320	Application No. 10/772,424
<b>Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))</b>		Applicant John V. Frangioni et al.	
		Filing Date February 6, 2004	Group Art Unit 3736

<b>Other Documents (include Author, Title, Date, and Place of Publication)</b>		
Examiner Initial	Desig. ID	Document
/ASJ/	AVV	Chan et al., "Quantum Dot Bioconjugates for Ultrasensitive Nonisotopic Detection," <i>Science</i> , 281:2016-2018, 1998
	AWW	Chan et al., <i>Curr Opin Biotechnol</i> 13:40-46 (2002)
	AXX	Chance, <i>Ann. N.Y. Acad. Sci.</i> 838:29-45 (1998)
	AYY	Chen et al., <i>Mat. Res. Soc. Symp. Proc.</i> 691:359-364 (2002)
	AZZ	Cheong et al., <i>IEEE J. Quantum Electronics</i> 26, 2166-2195 (1990)
	AAAA	Coffer et al., "Characterization of quantum-confined CdS nanocrystallites stabilized by deoxyribonucleic acid (DNA)," <i>Nanotechnology</i> , 3:69-76, 1992
	ABBB	Conway et al., <i>Am. J. Clin. Nutr.</i> 40:1123-1130 (1984)
	ACCC	Correa-Duarte et al., "Stabilization of CdS semiconductor nanoparticles against photodegradation by silica coating procedure," <i>Chem. Phys. Lett.</i> , 286:497-501, April 17, 1998
	ADDD	Dabbousi, et al., "(CdSe)ZnS core-shell quantum dots: synthesis and characterization of a size series of highly luminescent nanocrystallites" <i>J. of Phys. Chem. B</i> 101(46):9463-9475, November 13, 1997
	AEEE	Danek et al., "Synthesis of Luminescent Thin-Film CdSe/ZnSe Quantum Dot Composites Using CdSe Quantum Dots Passivated with an Overlayer of ZnSe" <i>Chem. Mater.</i> 8(1):173-180, 1996
	AFFF	Du et al., <i>Phys. Med. Biol.</i> 46:167-81 (2001)
	AGGG	Dubertret et al., <i>Science</i> 298:1759-1762 (2002)
	AHHH	Fridolin et al., <i>Phys. Med. Biol.</i> 45:3779-3792 (2000)
	AIII	Gan et al., "Enhanced Photoluminescence and Characterization of Mn-Doped ZnS Nanocrystallites Synthesized in Microemulsion" <i>Langmuir</i> 1997(13):6427-6431, 1997
	AJJJ	Gao et al., "Strongly Photoluminescent CdTe Nanocrystals by Proper Surface Modification," <i>J. Phys. Chem.</i> , 102:8360-8363, 1998
	AKKK	Gaponik et al., <i>J. of Phys. Chem. B</i> 106:7177-7185 (2002)
	ALLL	Gardner et al., <i>Lasers Surg. Med.</i> 18:129-138 (1996)
	AMMM	Gerion et al., <i>J. Am. Chem. Soc.</i> 124:7070-7074 (2002)
	ANNN	Goldman, E.R., et al., 2002 <i>J. Am. Chem. Soc.</i> 124, 6378
	AOOO	Goldman et al., <i>Anal. Chem.</i> 74:841-847 (2002)
	APPP	Guzelian et al., <i>Applied Physics Letters</i> 69, 1432-1434 (1996)
	AQQQ	Han M. et al., "Quantum-dot-tagged microbeads for multiplexed optical coding of biomolecules," <i>Nature Biotech.</i> 19:631-635.
	ARRR	Harrison et al., <i>Materials Science &amp; Engineering, B: Solid-State Materials for Advanced Technology</i> B69-70:355-360 (2000)
	ASSS	Hines et al., "Synthesis and Characterization of Strongly Luminescing ZnS-Capped CdSe Nanocrystals" <i>J. Phys. Chem.</i> 100:468-471, January 1996
✓	ATTT	Jacques, Vol. 1999, Oregon Medical Laser Center News (1999)

Examiner Signature	/Ashish Jasani/	Date Considered
		03/22/2007

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 14952.0320	Application No. 10/772,424
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)  (37 CFR §1.98(b))		Applicant John V. Frangioni et al.	
		Filing Date February 6, 2004	Group Art Unit 3736

<b>Other Documents (include Author, Title, Date, and Place of Publication)</b>			
Examiner Initial	Desig. ID	Document	
/ASJ/	AUUU	Jaiswal <i>et al.</i> , "Long-term multiple color imaging of live cells using quantum dot bioconjugates," <i>Nature Biotechnol.</i> 21:1, 47-51, January 2003	
	AVVV	Jarvis <i>et al.</i> , "Solution Synthesis and Photoluminescence Studies of Small Crystallites of Cadmium Telluride," <i>Mat. Res. Soc. Symp. Proc.</i> , 272:229-234, 1992	
	AWWW	Kershaw <i>et al.</i> , <i>IEEE Journal of Selected Topics in Quantum Electronics</i> 6, 534-543 (2000)	
	AXXX	Klarreich, <i>Nature</i> 413:450-452 (2001)	
	AYYY	Kortan <i>et al.</i> , "Nucleation and Growth of CdSe on ZnS Quantum Crystallite Seeds, and Vice Versa, In Inverse Micelle Media" <i>J. Am Chem. Soc.</i> 112:1327-1332, 1990	
	AZZZ	Kou, L. <i>et al.</i> , <i>Appl. Opt.</i> 32:3531-3540 (1993)	
	AAAAA	Kuenstner <i>et al.</i> , <i>Biospectroscopy</i> 3:225-232 (1997)	
	ABBBB	Kuno <i>et al.</i> , "The band edge luminescence of surface modified CdSe nanocrystallites: Probing the luminescing state" <i>J. Chem. Phys.</i> 106(23):9869-9882, June 1997	
	ACCCC	Lawless <i>et al.</i> , "Bifunctional Capping of CdS Nanoparticles and Bridging to TiO <sub>2</sub> " <i>J. Phys. Chem.</i> 99:10329-10335, 1995	
	ADDDD	Lee <i>et al.</i> , "Surface Derivatization of Nanocrystalline CdSe Semiconductors," <i>Mat. Res. Soc. Symp. Proc.</i> , 452:323-328, 1997	
	AEEEE	Lee, J. <i>et al.</i> , "Full Color Emission from II-VI Semiconductor Quantum Dot-Polymer Composites," <i>Adv. Mater.</i> 12:1102-1105, 2000.	
	AFFFF	Liz-Marzan <i>et al.</i> , "Synthesis of Nanosized Gold-Silica Core-Shell Particles" <i>Langmuir</i> 12:4329-4335, 1996	
	AGGGG	Ludolph, B., <i>et al.</i> , "Novel single molecule precursor routes for the direct synthesis of highly monodispersed quantum dots of cadmium or zinc sulfide or selenide," <i>Chem. Commun.</i> 1998: 1849-1850, 1998.	
	AHHHH	Mahtab <i>et al.</i> , "Preferential-absorption of a 'kinked' DNA to a newtral curved surface: comparison to and implications for nonspecific DNA-protein interactions," <i>J. Am. Chem. Soc.</i> , 118:7028-7032, July 31, 1996	
	AIIII	Mahtab <i>et al.</i> , "Protein-sized quantum dot luminescence can distinguish between 'straight', 'bent', and 'kinked' oligonucleotides", <i>J. Am. Chem. Soc.</i> , 117:9099-9100, September 6, 1995	
	AJJJJ	Matsumoto <i>et al.</i> , "Preparation of Monodisperse CdS Nanocrystals by Size Selective Photocorrosion" <i>J. Phys. Chem.</i> 100(32):13781-13785, 1996	
	AKKKK	Matoussi, H., <i>et al.</i> "Self-assembly of CdSe-ZnS Quantum Dot Bioconjugates Using an Engineered Recombinant Protein," <i>J. Am. Chem. Soc.</i> 122:12142-12150, 2000.	
	ALLLL	Mikulec <i>et al.</i> , "Fluorescent semiconductor nanocrystallites derivatized with biomolecules" <i>Amer. Chem.. Soc. Nat'l Meeting</i> , Boston, MA, August 24, 1998	
	AMMMM	Mourant <i>et al.</i> , <i>Appl. Opt.</i> 36:949-957 (1997)	
	ANNNN	Murphy <i>et al.</i> , "Quantum dots as inorganic DNA-binding proteins," <i>Mat. Res. Soc. Symp.</i> , 452:597-600, 1997	
	AOOOO	Murray <i>et al.</i> , "Synthesis and Characterization of Nearly Monodisperse CdE (E=S, Se, Te) Semiconductor Nanocrystallites" <i>J. Am. Chem. Soc.</i> 115(19):8706-8715, 1993	
▼	APPPP	Murray <i>et al.</i> , <i>IBM Journal of Research and Development</i> 45:47-56 (2001)	

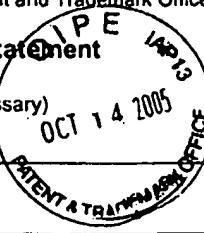
Examiner Signature  /Ashish Jasani/	Date Considered  03/22/2007
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 14952.0320	Application No. 10/772,424
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)  (37 CFR §1.98(b))		Applicant John V. Frangioni et al.	
		Filing Date February 6, 2004	Group Art Unit 3736

<b>Other Documents (include Author, Title, Date, and Place of Publication)</b>		
Examiner Initial	Desig. ID	Document
/ASJ/	AQQQQ	Nakayama <i>et al.</i> , "Functional near-infrared fluorescence imaging for cardiac surgery and targeted gene therapy," <i>Molecular Imaging</i> (2002)
	ARRRR	Nirmal <i>et al.</i> , "Fluorescence Intermittency in single Cadmium Selenide Nanocrystals" <i>Nature</i> 383:802-804, October 1996
	ASSSS	Pathak S., <i>et al.</i> , 2001 <i>J. Am. Chem. Soc</i> 123, 4103
	ATTTT	Peht et al., "Nanoparticle Precursor Route to Low-Temperature Spray Deposition of CdTe Thin Films," <i>Appl. Phys. Lett.</i> , 67(15):2176-2178, October 9, 1995
	AUUUU	Peng et al., "Epitaxial Growth of Highly Luminescent CdSe/CdS Core/Shell Nanocrystals with Photostability and Electronic Accessibility," <i>J. Am. Chem. Soc.</i> , 119:7019-7029, July 30, 1997
	AVVVV	Peng et al., "Synthesis and Isolation of a Homodimer of Cadmium Selenide Nanocrystals," <i>Angewandte Chemie</i> , 36:145-147, February 3, 1997
	WWWW	Rajh <i>et al.</i> , "Synthesis and Characterization of Surface-Modified Colloidal CdTe Quantum Dots" <i>J. Phys. Chem.</i> 97:11999-12003, Nov. 1993
	AXXXX	Rogach <i>et al.</i> , "Synthesis and characterization of Thiol-Stabilized CdTe Nanocrystals" <i>Ber. Bunsenges. Phys. Chem.</i> 100(11):1772-2778, 1996
	AYYYY	Rogach <i>et al.</i> , <i>Advanced Materials (Weinheim, Germany)</i> 11:552-555 (1999)
	AZZZZ	Rosenthal <i>et al.</i> , <i>J. Am. Chem. Soc.</i> 124:4586-4594 (2002)
	AAAAA	Spanhel <i>et al.</i> , "Photochemistry of Colloidal Semiconductors. Surface Modification and Stability of Strong Luminescing Cds Particles" <i>J. Am. Chem. Soc.</i> 109(19):5649-5655, 1987
	BBBBB	Steigerwald <i>et al.</i> , "Surface Derivatization and Isolation of Semiconductor Cluster Molecules," <i>J. Am. Chem. Soc.</i> , 110:3046-3050, 1988
	ACCCCC	Szekeres <i>et al.</i> , <i>J. Cardiovasc. Pharmacol.</i> 38:584-92 (2001)
	DDDDD	van Staveren <i>et al.</i> , <i>Applied Optics</i> 30:4507-4514 (1991)
	AEEEE	Wan <i>et al.</i> , <i>Photochem. Photobiol.</i> 34:679-681 (1981)
	AFFFF	Wang, Y.A., <i>et al.</i> , 2002 <i>J. Am. Chem. Soc</i> 124, 2293
	GGGGG	Weissleder <i>et al.</i> , <i>Nature Biotechnol.</i> 17:375-378 (1999)
	HHHHH	Weissleder, <i>Nature Biotechnol.</i> 19:316-7 (2001)
	AIIII	Whitesell, "Directionally Aligned Helical Peptides on Surfaces", <i>Science</i> , 261:73-75, July 2, 1993
	AJJJJ	Wu <i>et al.</i> , "Immunofluorescent labeling of cancer marker Her2 and other cellular targets with semiconductor quantum dots," <i>Nature Biotechnology</i> 21:1, 41-46, January 2003
✓	KKKKK	Zaheer <i>et al.</i> , <i>Nature Biotechnol.</i> 19:1148-1154 (2001)

Examiner Signature  /Ashish Jasani/	Date Considered  03/22/2007
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 14952.0320	Application No. 10/772,424
<b>Information Disclosure Statement</b> by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))		Applicant John FRANGIONI, et al.	
		Filing Date February 6, 2004	Group Art Unit 3736



### Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
/ASJ/	AA	Ekimov, A.I. et al., "Quantum Confined Atoms of Doped ZnO Nanocrystals," <i>Phys. Stat. Sol. (b)</i> 229, No. 2, 897-901 (2002).
	AB	Ekimov, A.I. et al., "Spin-flip and acoustic-phonon Raman scattering in CdS nanocrystals," <i>Physical Review B</i> , Vol. 58, No. 4, 15 (July 1998-II), 2077-2087
	AC	Ekimov, A.I. et al., "CdS nanocrystal growth in thin silica films: evolution of size distribution function," <i>Journal of Crystal Growth</i> 184/185 (1998) 360-364.
	AD	Ekimov, A.I. et al., "Dynamics of excitons in CuBr nanocrystals: Spectral-hole burning and transient four-wave-mixing measurements," <i>Physical Review B</i> , Vol. 57, No. 3, 15 January 1998-I, 1774-1783.
	AE	Ekimov, A.I. et al., "Size-selective resonant Raman scattering in CdS doped glasses," <i>Physical Review B</i> , Vol. 57, No. 1, 1 January 1998-I, 341-346.
	AF	Ekimov, A.I. et al., "Growth and optical properties of semiconductor nanocrystals in a glass matrix," <i>Journal of Luminescence</i> 70 (1996) 1-20.
	AG	Ekimov, A.I. et al., "Size dependence of acoustic and optical vibrational modes of CdSe nanocrystals in glasses," <i>Journal of Non-Crystalline Solids</i> 197 (1996) 238-246.
	AH	Ekimov, A.I. et al., "Subpicosecond dynamics of confined excitons in CuCl nanocrystals," <i>Materials Science and Engineering A</i> 217/218 (1996) 167-170.
	AI	Ekimov, A.I. et al., "Enhancement of electron-hole exchange interaction in CdSe nanocrystals; A quantum confinement effect," <i>Physical Review B</i> , Vol. 53, No. 3, 15 January 1996-I, 1336-1342.
	AJ	Ekimov, A.I. et al., "Subpicosecond dynamics of confined excitons and optical nonlinearities of CuCl quantum dots," <i>Journal of Luminescence</i> 66 & 67 (1996) 406-409.
	AK	Ekimov, A.I. et al., "Size-dependent Electron-Hole Exchange Interaction in CdSe Quantum Dots, <i>Il Nuovo Cimento</i> ," Vol. 17, Nos. 11-12, (1995) 1407-1412.
	AL	Ekimov, A.I. et al., "Polaron and Exciton-Phonon Complexes in CuCl Nanocrystals," <i>Physical Review Letters</i> , Vol. 74, No. 9, 27 February 1995, p.1645.
	AM	Ekimov, A.I. et al., "Growth of CdSe nanocrystals in ion-implanted SiO <sub>2</sub> films," <i>Journal of Crystal Growth</i> 151 (1995) 38-45.
	AN	Ekimov, A.I. et al., "Effects of Resonance on Low-Frequency Raman Scattering From Semiconductor Nanocrystals," <i>Radiation Effects and Defects in Solids</i> , 1995, Vol. 137, pp-45-50.
V	AO	Ekimov, A.I. et al., "Optical Properties of Oxide Glasses Doped by Semiconductor Nanocrystals," <i>Radiation Effects and Defects in Solids</i> , 1995, Vol. 134, pp-11-22.

Examiner Signature	/Ashish Jasani/	Date Considered	03/22/2007
--------------------	-----------------	-----------------	------------

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute Form PTO-1449 (Modified)		U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 14952.0320	Application No. 10/772,424
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)		Applicant John FRANGIONI, et al.		
(37 CFR §1.98(b))		Filing Date February 6, 2004	Group Art Unit 3736	

/ASJ/	AP	Ekimov, A.I. <i>et al.</i> , "Enhancement of Exciton Exchange Interaction by Quantum Confinement in CdSe Nanocrystals," <i>Jpn. J. Appl. Phys.</i> , Vol. 34, 12-14 (1994).
	AQ	Ekimov, A.I. <i>et al.</i> , "Growth of CdS nanocrystals in silicate glasses and in thin SiO <sub>2</sub> films in the Initial states of the phase separation of a solid solution," <i>Semiconductors</i> , 28 (5), May 1994, 486-493.
	AR	Ekimov, A.I. <i>et al.</i> , "Interface effects on the properties of confined excitons in CuCl microcrystals," <i>Journal of Luminescence</i> 60 & 61 (1994) 396-399.
	AS	Ekimov, A. I., "Surface Recombination of Nonequilibrium Electron-Hole Plasma in Laser-Modified Semiconductor-Doped Glasses," <i>Solid State Communications</i> , Vol. 87, No. 6, 577-580 (1993).
	AT	Ekimov, A. I. "Dynamics of Nonlinear Optical Response of CuBr-Doped Glasses," <i>Superlattices and Microstructures</i> , Vol. 3, No. 2, 199-202 (1993).
	AU	Ekimov, A. I., "Absorportion and intensity-dependent photoluminescence measurements on CdSe quantum dots: assignment of the first electronic transitions," <i>Journal of the Optical Society of America</i> , Vol. 10, Nos. 1-12, 100-107 (1992).
	AV	Ekimov, A.I. <i>et al.</i> "Preparation and investigation of SIO <sub>2</sub> films activated by CdS semiconductor nanocrystals," <i>Soviet Physics Semiconductors</i> , Vol. 26, 57-59 (1992).
	AW	Ekimov, A.I. <i>et al.</i> "Generation of reflected second harmonic at semiconductor quantum dots," <i>JETP Letters</i> , Vol. 55, No. 8, 435-439 (1992).
	AX	Ekimov, A.I. <i>et al.</i> "Dimensional Effects in Luminescence Spectra of Zero-Dimensional Semiconductor Structures," <i>Bulletin of the Russian Academy of Sciences</i> , Vol. 56, No. 2, pp. 154-157, February, 1992.
	AY	Ekimov, A.I. <i>et al.</i> , "Fast switching of the transmission of light by glasses activated with CdS microcrystals," <i>Sov. Phys. Semicond.</i> , Vol.25 No.2, 164-166 (1991).
	BA	Ekimov, A.I. <i>et al.</i> , "Resonance Raman Spectroscopy of Electron-Hole Pairs -- Polar Phonon Coupling in Semiconductor Quantum Microcrystals," <i>Solid State Communications</i> , Vol. 78, No. 10, pp-853-856, 1991.
	BB	Ekimov, A.I. <i>et al.</i> , "Optics of Zero Dimensional Semiconductor Systems, <i>Acta Physica Polonica A</i> ," Vol. 79 (1991), No. 1. pp. 5-14.
	BC	Ekimov, A.I. <i>et al.</i> , "Optical Properties of Semiconductor Quantum Dots in Glass Matrix," <i>Physica Scripta</i> . Vol. T39, 217-222 (1991).
	BD	Ekimov, A.I. <i>et al.</i> "Rapid Processes of Darkening and Bleaching in CdS Doped Glasses," <i>Superlattices and Microstructures</i> Vol. 10, No. 3, 307-310 (1990).
	BE	Ekimov, A.I. <i>et al.</i> , "Auger ionization of semiconductor quantum drops in a glass matrix," <i>Journal of Luminescence</i> 47 (1990) 113-127 North-Holland.
↓	BF	Ekimov, A.I. <i>et al.</i> , "Time-Resolved Luminescence of CdSe Microcrystals," <i>Solid State Communications</i> , Vol. 74, No. 7, pp. 555-557, 1990.

Examiner Signature  /Ashish Jasani/	Date Considered  03/22/2007
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 14952.0320	Application No. 10/772,424
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)		Applicant John FRANGIONI, et al.	
(37 CFR §1.98(b))		Filing Date February 6, 2004	Group Art Unit 3736

/ASJ/	BG	Ekimov, A.I. <i>et al.</i> , "Quantum-Size Stark Effect in Semiconductor Microcrystals," <i>Journal of Luminescence</i> 46 (1990) 97-100 North-Holland.	
	BH	Ekimov, A.I. <i>et al.</i> , "Spectra and Decay Kinetics of Radiative Recombination in CdS Microcrystals," <i>Journal of Luminescence</i> 46 (1990) 83-95 North-Holland.	
	BI	Ekimov, A.I. <i>et al.</i> , "Influence of high hydrostatic pressures on the exciton spectrum of CdS microcrystals in glass," <i>Sov. Phys. Semicond.</i> 23(9), September 1989, pp. 965-66.	
	BJ	Ekimov, A.I. <i>et al.</i> , "Photoluminescence of quasizero-dimensional semiconductor structures," <i>Sov. Phys. Solid State</i> 31(8), August 1989, pp. 1385-93.	
	BK	Ekimov, A.I. <i>et al.</i> , "Photoionization of semiconducting microcrystals in glass," <i>Sov. Phys. Solid State</i> 31(1), January 1989, pp. 149-151.	
	BL	Ekimov, A.I. <i>et al.</i> , "Donor-like Exciton in Zero-Dimension Semiconductor Structures," <i>Solid State Communications</i> , Vol. 69, No. 5, pp. 565-568, 1989.	
	BM	Ekimov, A.I. <i>et al.</i> , "Nonlinear Optics of Semiconductor-Doped Glasses," <i>Phys. Stat. Sol. (b)</i> 150, (1988) pp. 627-633.	
	BN	Ekimov, A.I. <i>et al.</i> , "Nonlinear optical properties of semiconductor microcrystals," <i>JETP Lett.</i> , Vol. 46, No. 10, 25 November 1987 pp. 435-439.	
	BO	Ekimov, A.I. <i>et al.</i> , "Quantization of the energy spectrum of holes in the adiabatic potential of the electron," <i>JETP Lett.</i> , Vol. 43, No. 6, 25 March 1986, pp. 376-379.	
	BP	Ekimov, A.I. <i>et al.</i> , "Quantum Size Effect in Semiconductor Microcrystals," <i>Solid State Communications</i> , Vol. 56, No. 11, pp. 921-924, 1985.	
	BQ	Ekimov, A.I. <i>et al.</i> , "Size quantization of the electron energy spectrum in a microscopic semiconductor crystal," <i>JETP Lett.</i> , Vol. 40, No. 8, 25 October 1984, pp. 1136-1139.	
	BR	Ekimov, A.I. <i>et al.</i> , "Quantum size effect in the optical spectra of semiconductor microcrystals," <i>Sov. Phys. Semicond.</i> 16(7), July 1982, pp. 775-778.	
	BS	Ekimov, A.I. <i>et al.</i> , "Quantum size effect in three-dimensional microscopic semiconductor crystals," <i>JETP Lett.</i> , Vol. 34, No. 6, 20 September 1981, pp. 345-349.	
↓	BT	Ekimov, A.I. <i>et al.</i> , "Oscillations of polarization of recombination radiation of a variable gap semiconductor in a magnetic field," <i>JETP Lett.</i> , Vol. 25 No.55, 526-528 (1977).	

Examiner Signature	/Ashish Jasani/	Date Considered	03/22/2007
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.			

Substitute Form PTO-1449 (Modified)		U.S. Department of Commerce Patent and Trademark Office		Attorney's Docket No. 14952.0320	Application No. 10/772,474
<b>Information Disclosure Statement</b> by Applicant (Use several sheets if necessary)  (37 CFR §1.98(b))				Applicant John V. Frangioni et al.	AUG 31 2005
				Filing Date February 6, 2004	Group Art Unit 3736

O P E  
J C S  
PATENT & TRADEMARK OFFICE U.S.A.

**U.S. Patent Documents**

Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
/ASJ/		6,410,255 B1	6/25/2002	Pollok et al.			
/ASJ/		6,447,749 B1	9/10/2002	Licha et al.			

**Foreign Patent Documents or Published Foreign Patent Applications**

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No

**Other Documents (include Author, Title, Date, and Place of Publication)**

Examiner Initial	Desig. ID	Document		

Examiner Signature  /Ashish Jasani/	Date Considered  03/22/2007
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

NOV 23 2005

Sheet 1 of 1

Substitute Form PTO-1449 (Modified)		U.S. Department of Commerce U.S. Patent and Trademark Office	Attorney's Docket No. 14952.0320	Application No. 10/772,424
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)  (37 CFR §1.98(b))		Applicant John V. Frangioni et al.		
		Filing Date February 6, 2004	Group Art Unit 3736	

<b>U.S. Patent Documents</b>							
Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
/ASJ/		5,101,827	04/07/1992	Goldenberg			
		6,633,370	10/14/2003	Lawandy			
		6,819,692	11/16/2004	Klimov et al.			
↓		6,444,192	09/03/2002	Mattrey			

<b>Foreign Patent Documents or Published Foreign Patent Applications</b>							
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation Yes      No

<b>Other Documents (include Author, Title, Date, and Place of Publication)</b>		
Examiner Initial	Desig. ID	Document

Examiner Signature  /Ashish Jasani/	Date Considered  03/22/2007
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

OIP  
JAN 12 2006  
PATENT & TRADEMARK OFFICE

Sheet 1 of 1

Substitute Form PTO-1449. Department of Commerce (Modified) Patent and Trademark Office		Attorney's Docket No. 14952.0320	Application No. 10/772,424
<b>Information Disclosure Statement</b> <b>by Applicant</b> <small>(Use several sheets if necessary)</small> <small>(37 CFR §1.98(b))</small>		Applicant John V. Frangioni et al.	
		Filing Date February 6, 2004	Group Art Unit 3736

<b>U.S. Patent Documents</b>							
Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
/ASJ/		6,804,549	Oct. 12, 2004	Hayashi			

<b>Foreign Patent Documents or Published Foreign Patent Applications</b>							
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation Yes      No

<b>Other Documents (include Author, Title, Date, and Place of Publication)</b>		
Examiner Initial	Desig. ID	Document

Examiner Signature <i>/Ashish Jasani/</i>	Date Considered 03/22/2007
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	